

FEES AND LEVIES 2018/19– REQUEST FOR FEE-TARIFF DATA

Fee-blocks A013 and I008 or I009

FCA	Tariff base	Annual income – investment mediation (investment and life & pensions business)
FOS	Tariff base	Relevant annual income – investment mediation (investment and life & pensions business)
FCA/FOS	Valuation date	For financial year ended in the calendar year ending 31 December 2017

We need fees and levies information to calculate your fees for the Financial Conduct Authority (FCA), Money Advice Services (MAS), Pension Guidance Service (PGS) and the Financial Ombudsman Service (FOS). We provide separate guidance for data relevant to the [FSCS levies](#).

This guidance sheet provides details on the data to include within the firm's fee tariff data submission. We have given links to relevant parts of the Handbook to help you complete the form correctly. This sheet covers the following fee-blocks:

- **FCA fee-block A013**
- **FOS industry block I008 or I009**

For more information on this, including which regulated activities place firms into the above fee-blocks, please refer to the fees manual ([FEES](#)).

Each year we consult on any proposed fee policy changes and fee tariff bases may be subject to change. So before submitting the fee tariff data, you should also refer to the [latest publications](#) about fees on our website. These explain any proposed changes to the tariff data you must report, and the expected date when any changes will be implemented.

For FSCS guidance, publication and further information on fees and levies, visit our [fees website](#).

FCA fee-block: A013 – advisors, arrangers, dealers or brokers

Tariff base: annual income for your financial year ended in 2017

Annual income is defined in [FEES 4 Annex 11AR](#); guidance is set out in [FEES 4 Annex 13G](#)

e-mail: feetariffreturns@fca.org.uk	Tel: 0300 500 0597	Mail: FCA - Revenue Dept. Tariff Data Collection 25 The North Colonnade Canary Wharf London E14 5HS
---	---------------------------	--

FEES AND LEVIES 2018/19– REQUEST FOR FEE-TARIFF DATA

Note: The annual income submitted for fee block A13 should not include the following

- 1. income from corporate finance business (reported under fee block A014)**
- 2. income from managing investments, collective investment schemes or pension schemes (fee block A007 & A009)**
- 3. income in relation to safeguarding or administering assets and holding client money or assets permissions (fee block A021)**

Refer to A014, A007, A009 or A021 guidance when completing the fee tariff data for these fee blocks

FOS Industry Block: I009 – Advisory arrangers, dealers or brokers (NOT holding or controlling client money and/or assets)

or

FOS industry block: I008 – advisory arrangers, dealers or brokers (holding or controlling client money and/or assets)

Tariff Base - Relevant Annual Income for your financial year ended in 2017

Firms in industry block I008 must include annual income in relation to their safeguarding or administering assets or holding client money or assets permissions.

The FOS levy is based on business done with consumers and which is subject to the jurisdiction of the Financial Ombudsman Service (see [DISP 2.3](#)). Firms should only include income in relation to consumers.

If the firm has a valid FOS exemption no data is required.

IMPORTANT

Firms registered for online invoicing must submit the data on line; any completed paper forms should be emailed to feetariffreturns@fca.org.uk before the date shown on the front of your fee tariff data letter.

Before submission please ensure:

- FCA and FOS tariff data has been completed in whole numbers and are in GBP
- You have completed all sections
- Do not leave blanks (enter '0' when submitting on line or 'NIL' on the paper form, where applicable)
- The tariff data has been signed off at the appropriate level of seniority, e.g. compliance director, before submitting to us

EEA BRANCHES ONLY – You must email feetariffreturns@fca.org.uk and let us know if there are any regulated activities you are not conducting in the UK. We will update your online form to reflect this so you can submit your return. Paper reporters can indicate this when returning their form.

e-mail: feetariffreturns@fca.org.uk	Tel: 0300 500 0597	Mail: FCA - Revenue Dept. Tariff Data Collection 25 The North Colonnade Canary Wharf London E14 5HS
--	--------------------	---